

# EXHIBIT A

# Report concerning SCR designation for TRICON MMIC LLC investigation

## Overview

Title	Report concerning SCR designation for TRICON MMIC LLC investigation
Type	- INITIAL-SIGNIFICANT CASE REPORT
Threshold Category	- COUNTER-PROLIFERATION - ATTEMPTED PROCUREMENT
Occurrence Date	03/04/2019

## Routing Information

Supervisor	Michael McGonigle
Automatic Distribution Office	BO - Boston, MA
Document Notification Level	1 - TO RECORD OWNER

## Restrict Visibility

Groups Visible To	Restricted
-------------------	------------

[REDACTED]  
OFFICIAL USE ONLY | LAW ENFORCEMENT SENSITIVE

Page 2 of 5

**Narrative****CASE INFORMATION**SAC OFFICE: **BOSTON**

SPECIAL AGENT NAME AND PHONE NUMBER: Thomas Brian Andersen Jr. [REDACTED]

ENTER THE CASE NUMBER: BO06DV18BO0001 (TRICON MMIC &amp; Haoyang YU)

[REDACTED]  
SELECT THRESHOLD CATEGORY: [REDACTED] Procurement or attempted procurement of U.S. weapons  
and/or controlled technologies by terrorists or other malicious actors  
[REDACTED]

Haoyang YU is a naturalized United States citizen from China. YU was previously employed at Analog Devices in Chelmsford, MA as a design engineer. While still employed at Analog, YU conspired with his wife, Yanzhi CHEN (an LPR from China), to incorporate TRICON MMIC LLC, which provided YU an outlet to sell MMIC amplifiers. Although CHEN appears to be the company founder on paper, YU created fictitious identities (Jack TRICON, Jack YU, etc.) to hide his role in the company. YU did this because the MMIC amplifiers that he is selling to international customers, including those in China, are based upon designs and technical data that he stole from Analog while he was still working there. HSI Boston learned that TRICON operates a corporate website which is used to market and sell their MMIC technology. Based upon a review of the website, one of the products that TRICON designs or manufactures was identified as the TM5054. This component is a wideband distributed power amplifier and is one of the products that YU stole the design plans from Analog. These types of power amplifiers can be used in applications such as electronic warfare, radar, military satellite communications, and electronic countermeasures. The TM5054 is designated by the Export Control Classification Number (ECCN) 3A001 and is subject to controls for the following reasons; National Security (NS) and Anti-Terrorism (AT). YU has unlawfully exported these products to Japan, Spain, and China.

Additionally, several TRICON parts are presently being advertised for sale by Chinese companies on websites in the People's Republic of China. Some of the Chinese companies identify themselves as "sales representatives" for TRICON or as suppliers of integrated circuit devices. The websites indicate that the TRICON MMICs can be used in a variety of applications, including aerospace and aviation, national defense, testing instrument and equipment, and satellite communications. Some of the websites list the TRICON product numbers and product specification sheets, including the TM-5054. As a result, these parts cannot be shipped to China without an export license. A review of emails seized pursuant to a search warrant has also revealed that YU was paid \$50,000 USD to consult with a Chinese MMIC manufacturer. That Chinese company is seeking to use US techniques, innovations and know-how to produce their own MMIC amplifiers. The consulting work is evidence of additional export violations to China.

[REDACTED]  
DATE OF LAST ROI: 1/15/2019

OFFICIAL USE ONLY | LAW ENFORCEMENT SENSITIVE

DOJ-YU-2900

[REDACTED]

[REDACTED]

OFFICIAL USE ONLY | LAW ENFORCEMENT SENSITIVE

Page 3 of 5

**ADDITIONAL CASE INFORMATION**

PARTICIPATING HSI OFFICES:

1. Domestic- [REDACTED] 2. International- [REDACTED]

**CASE VIOLATIONS AND THREATS**

POTENTIAL VIOLATIONS: 18 U.S.C. § 1832 - Theft of Trade Secrets, 50 U.S.C. § 1705 IEEPA - (Unlawful Exports), 18 U.S.C. § 554 - Smuggling, Export Administrations Regulations, 15 C.F.R. §§ 730-744 - ECRA (Unlawful Exports after September 1, 2018), 18 U.S.C. § 1956 - Money Laundering

NATIONAL SECURITY THREAT: YES

[REDACTED]

OFFICIAL USE ONLY | LAW ENFORCEMENT SENSITIVE

[REDACTED]  
[REDACTED]  
OFFICIAL USE ONLY | LAW ENFORCEMENT SENSITIVE

Page 4 of 5

**Metadata**

[REDACTED]	[REDACTED]
<b>Document Status</b>	Approved
<b>Opened</b>	3/4/2019
<b>Last Updated</b>	5/6/2019
<b>Author</b>	Thomas Andersen [REDACTED]
<b>Owner(s)</b>	Thomas Andersen [REDACTED]
<b>Supervisor</b>	MICHAEL MCGONIGLE [REDACTED]
<b>Approved</b>	Stephen Valentine [REDACTED]
<b>Approved</b>	Lennis Barrois [REDACTED]
<b>Approved</b>	Michael Shea [REDACTED]

**Case Metadata**

OFFICIAL USE ONLY | LAW ENFORCEMENT SENSITIVE

This document is loaned to you for official use only and remains the property of the Department of Homeland Security. Any further request for disclosure of this document or information contained herein should be referred to HSI Headquarters together with a copy of the document.

DOJ-YU2902

[REDACTED]

[REDACTED]

OFFICIAL USE ONLY | LAW ENFORCEMENT SENSITIVE

Case Title	TRICON MMIC & Haoyang YU
[REDACTED]	[REDACTED]
Case Opened	3/22/2018
Case Last Updated	6/17/2019
Approved	Michael McGonigle [REDACTED]

OFFICIAL USE ONLY | LAW ENFORCEMENT SENSITIVE

DOJ-YU-2903